

FORM PTO - 1449

INFORMATION DISCLOSURE STATEMENT



ATTORNEY DOCKET NO.: EXT-023

APPLICANT(S): Stanley N. Lapidus et al.

SERIAL NO.: 09/448,042

FILING DATE: Nov. 23, 1999

GROUP: 1643

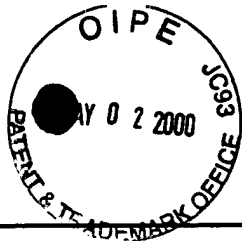
## U.S. PATENT DOCUMENTS

| EXAM.<br>INIT. |     | DOCUMENT<br>NUMBER | DATE     | NAME                | CLASS | SUB<br>CLASS | FILING DATE IF<br>APPROPRIATE |
|----------------|-----|--------------------|----------|---------------------|-------|--------------|-------------------------------|
| S              | A1  | 4,101,279          | 7/18/78  | Aslam               |       |              | 4/6/77                        |
|                | A2  | 4,309,782          | 1/12/82  | Paulin              |       |              | 9/11/80                       |
|                | A3  | 4,333,734          | 6/8/82   | Fleisher            |       |              | 10/8/80                       |
|                | A4  | 4,445,235          | 5/1/84   | Slover et al.       |       |              | 9/13/82                       |
|                | A5  | 4,535,058          | 8/13/85  | Weinberg et al.     |       |              | 10/1/82                       |
|                | A6  | 4,683,195          | 7/28/87  | Mullis et al.       |       |              | 2/7/86                        |
|                | A7  | 4,705,050          | 11/10/87 | Markham, Charles W. |       |              | 10/2/85                       |
|                | A8  | 4,735,905          | 4/5/88   | Parker              |       |              | 8/15/86                       |
|                | A9  | 4,786,718          | 11/22/88 | Weinberg et al.     |       |              | 8/8/85                        |
|                | A10 | 4,857,300          | 8/15/89  | Maksem              |       |              | 7/27/87                       |
|                | A11 | 4,871,838          | 10/3/89  | Bos et al.          |       |              | 7/23/85                       |
|                | A12 | 4,981,783          | 1/1/91   | Augenlicht          |       |              | 4/16/86                       |
|                | A13 | 4,982,615          | 1/8/91   | Sultan et al.       |       |              | 4/18/89                       |
|                | A14 | 5,087,617          | 2/11/92  | Smith               |       |              | 2/15/89                       |
|                | A15 | 5,126,239          | 6/30/92  | Livak et al.        |       |              | 3/14/90                       |
|                | A16 | 5,137,806          | 8/11/92  | LeMaistre et al.    |       |              | 12/11/89                      |
|                | A17 | 5,149,506          | 9/22/92  | Skiba et al.        |       |              | 8/9/91                        |
|                | A18 | 5,196,167          | 3/23/93  | Guadagno et al.     |       |              | 5/9/91                        |
|                | A19 | 5,248,671          | 9/28/93  | Smith               |       |              | 12/9/91                       |
|                | A20 | 5,272,057          | 12/21/93 | Smulson et al.      |       |              | 12/21/93                      |
|                | A21 | 5,302,509          | 4/12/94  | Cheeseman           |       |              | 2/27/91                       |
|                | A22 | 5,330,892          | 7/19/94  | Vogelstein et al.   |       |              | 3/13/91                       |
|                | A23 | 5,331,973          | 7/26/94  | Fiedler et al.      |       |              | 3/15/93                       |
|                | A24 | 5,348,855          | 9/20/94  | Dattagupta et al.   |       |              | 10/4/91                       |
|                | A25 | 5,352,775          | 10/4/94  | Albertsen et al.    |       |              | 8/8/91                        |

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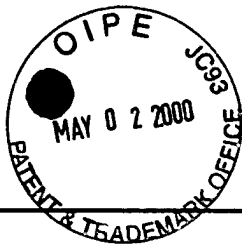
## U.S. PATENT DOCUMENTS (continued)

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|----------------|-----|--------------------|----------|-----------------------|-------|--------------|-------------------------------|
| SA             | A26 | 5,362,623          | 11/8/94  | Vogelstein et al.     |       |              | 3/31/92                       |
|                | A27 | 5,369,004          | 11/29/94 | Polymeropoulos et al. |       |              | 7/31/92                       |
|                | A28 | 5,378,602          | 1/3/95   | Polymeropoulos et al. |       |              | 11/27/91                      |
|                | A29 | 5,380,645          | 1/10/95  | Vogelstein            |       |              | 3/16/89                       |
|                | A30 | 5,380,647          | 1/10/95  | Bahar                 |       |              | 4/26/93                       |
|                | A31 | 5,382,510          | 1/17/95  | Levine et al.         |       |              | 7/10/92                       |
|                | A32 | 5,409,586          | 4/25/95  | Kamahori et al.       |       |              | 8/24/93                       |
|                | A33 | 5,458,761          | 10/17/95 | Kamahori et al.       |       |              | 1/27/95                       |
|                | A34 | 5,463,782          | 11/7/95  | Carlson et al.        |       |              | 11/21/94                      |
|                | A35 | 5,466,576          | 11/14/95 | Schulz et al.         |       |              | 7/2/93                        |
|                | A36 | 5,468,610          | 11/21/95 | Polymeropoulos et al. |       |              | 6/9/93                        |
|                | A37 | 5,468,613          | 11/21/95 | Erlich et al.         |       |              | 3/9/90                        |
|                | A38 | 5,489,508          | 2/6/96   | West et al.           |       |              | 3/24/93                       |
|                | A39 | 5,492,808          | 2/20/96  | de la Chapelle et al. |       |              | 5/5/93                        |
|                | A40 | 5,496,470          | 3/5/96   | Lenhart               |       |              | 5/27/94                       |
|                | A41 | 5,508,164          | 4/16/96  | Kausch et al.         |       |              | 10/29/93                      |
|                | A42 | 5,512,441          | 4/30/96  | Ronal                 |       |              | 11/15/94                      |
|                | A43 | 5,514,547          | 5/7/96   | Balazs et al.         |       |              | 2/4/94                        |
|                | A44 | 5,527,676          | 6/18/96  | Vogelstein et al.     |       |              | 3/22/93                       |
|                | A45 | 5,532,108          | 7/2/96   | Vogelstein            |       |              | 4/14/94                       |
|                | A46 | 5,580,729          | 12/3/96  | Vogelstein            |       |              | 6/24/94                       |
|                | A47 | 5,589,335          | 12/31/96 | Kearney et al.        |       |              | 8/11/94                       |
|                | A48 | 5,670,325          | 9/23/97  | Lapidus et al.        |       |              | 8/14/96                       |
| ✓              | A49 | 5,709,998          | 1/20/98  | Kinzler et al.        |       |              | 12/15/93                      |

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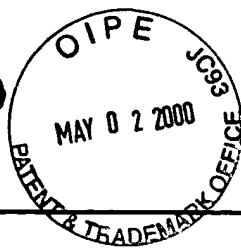
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|----------------|-----|--------------------|---------|----------------|-------|--------------|-------------------------------|
| S              | A50 | 5,741,650          | 4/21/98 | Lapidus et al. |       |              | 4/21/98                       |
|                | A51 | 5,759,777          | 6/2/98  | Kearney et al. |       |              | 6/2/98                        |
|                | A52 | 5,830,665          | 11/3/98 | Shuber et al.  |       |              | 3/3/97                        |
| V              | A53 | 5,928,870          | 7/27/99 | Lapidus et al. |       |              | 6/16/97                       |

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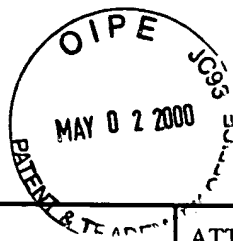
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## FOREIGN PATENT DOCUMENTS

| EXAM.<br>INIT.     |     | DOCUMENT<br>NUMBER | DATE     | COUNTRY<br>CODE | CLASS                       | SUB<br>CLASS | FILING<br>DATE | ABSTRACT<br>ONLY | ENGLISH<br>LANG Y/N |
|--------------------|-----|--------------------|----------|-----------------|-----------------------------|--------------|----------------|------------------|---------------------|
| SA                 | B1  | 0 284 362 A2       | 9/28/88  | EP              |                             |              | 3/23/88        |                  |                     |
|                    | B2  | 0 337 498 A2       | 10/18/89 | EP              |                             |              | 4/17/89        |                  |                     |
|                    | B3  | WO 90/09455        | 8/23/90  | PCT             |                             |              | 2/13/90        |                  |                     |
|                    | B4  | 0 390 323 A2       | 10/3/90  | EP              |                             |              | 2/20/90        |                  |                     |
|                    | B5  | 0 390 323 A3       | 10/3/90  | EP              |                             |              | 2/20/90        |                  |                     |
|                    | B6  | 0 407 789 A1       | 1/16/91  | EP              |                             |              | 6/22/90        |                  |                     |
|                    | B7  | 0 407 789 B1       | 1/16/91  | EP              |                             |              | 6/22/90        |                  |                     |
|                    | B8  | WO 92/13103        | 8/6/92   | PCT             |                             |              | 1/16/92        |                  |                     |
|                    | B9  | WO 92/16657        | 10/1/92  | PCT             |                             |              | 3/12/92        |                  |                     |
|                    | B10 | WO 93/18186        | 9/16/93  | PCT             |                             |              | 3/1/93         |                  |                     |
|                    | B11 | WO 93/20233        | 10/14/93 | PCT             |                             |              | 3/22/93        |                  |                     |
|                    | B12 | WO 94/00603        | 1/6/94   | PCT             |                             |              | 6/28/93        |                  |                     |
|                    | B13 | WO 94/09161        | 4/28/94  | PCT             |                             |              | 10/20/93       |                  |                     |
|                    | B14 | WO 94/10575        | 5/11/94  | PCT             |                             |              | 10/29/93       |                  |                     |
|                    | B15 | WO 94/11383        | 5/26/94  | PCT             |                             |              | 11/8/93        |                  |                     |
|                    | B16 | 0 608 004 A2       | 7/27/94  | EP              |                             |              | 8/11/87        |                  |                     |
|                    | B17 | A-11325/95         | 10/5/94  | AU              |                             |              |                |                  |                     |
|                    | B18 | 0 259 031 B1       | 11/9/94  | EP              |                             |              | 8/11/87        |                  |                     |
|                    | B19 | WO 95/07361        | 3/16/95  | PCT             |                             |              | 9/9/94         |                  |                     |
|                    | B20 | WO 95/09928        | 4/13/95  | PCT             |                             |              | 9/26/94        |                  |                     |
|                    | B21 | WO 95/09929        | 4/13/95  | PCT             |                             |              | 9/26/94        |                  | Yes                 |
|                    | B22 | WO 95/13397        | 5/18/95  | PCT             |                             |              | 11/10/94       |                  |                     |
|                    | B23 | WO 95/15400        | 6/8/95   | PCT             |                             |              | 12/5/94        |                  |                     |
|                    | B24 | WP 95/16792        | 6/22/95  | PCT             |                             |              | 12/13/94       |                  | NO                  |
|                    | B25 | WO 95/18818        | 7/13/95  | PCT             |                             |              | 1/3/95         |                  |                     |
| EXAMINER <i>SA</i> |     |                    |          |                 | DATE CONSIDERED <i>3/01</i> |              |                |                  |                     |



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|----------------|-----|--------------------|----------|-----------------|-------|--------------|----------------|------------------|---------------------|
| SA             | B26 | WO 95/19448        | 7/20/95  | PCT             |       |              | 1/13/95        |                  |                     |
|                | B27 | 0 664 339 A1       | 7/26/95  | EP              |       |              | 7/7/94         |                  | Yes                 |
|                | B28 | WO 95/25813        | 9/28/95  | PCT             |       |              | 3/17/95        |                  |                     |
|                | B29 | WO 95/31728        | 11/23/95 | PCT             |       |              | 5/15/95        |                  |                     |
|                | B30 | WO 96/01907        | 1/25/96  | PCT             |       |              | 7/10/95        |                  |                     |
|                | B31 | WO 96/06951        | 3/7/96   | PCT             |       |              | 8/31/95        |                  |                     |
|                | B32 | WO 96/08514        | 3/21/96  | PCT             |       |              | 9/12/95        |                  |                     |
|                | B33 | WO 96/12821        | 5/2/96   | PCT             |       |              | 12/19/95       |                  |                     |
|                | B34 | WO 96/13611        | 5/9/96   | PCT             |       |              | 10/27/95       |                  |                     |
|                | B35 | WO 97/09449        | 3/13/97  | PCT             |       |              | 9/2/96         |                  |                     |
|                | B36 | WO 97/09600        | 3/13/97  | PCT             |       |              | 9/5/96         |                  | Yes                 |
|                | B37 | WO 97/23651        | 7/3/97   | PCT             |       |              | 12/20/96       |                  | Yes                 |
|                | B38 | WO97/25442         | 7/17/97  | PCT             |       |              | 1/9/97         |                  | Yes                 |
|                | B39 | WO 98/38338        | 9/3/98   | PCT             |       |              | 2/27/98        |                  | Yes                 |
|                | B40 | WO 98/58081        | 12/23/98 | PCT             |       |              | 6/4/98         |                  | Yes                 |

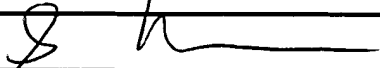
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| <b>OTHER ART, JOURNAL ARTICLES, ETC.</b> |     |  |
| <b>EXAM. INIT.</b>                       |     | <b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>  |
| SA                                       | C1  | Aaltonen <i>et al.</i> (1994) "Replication Errors in Benign and Malignant Tumors from Hereditary Nonpolyposis Colorectal Cancer Patients" <u>Cancer Research</u> 54: 1645-1648   |
|  | C2  | Aaltonen <i>et al.</i> (1998) "Incidence of Hereditary Nonpolyposis Colorectal Cancer and the Feasibility of Molecular Screening for the Disease" <u>The New England Journal of Medicine</u> 338: 1481-1487                          |
|  | C3  | Ausubel <i>et al.</i> , (1995), <u>Short Protocols in Molecular Biology</u> , 3d ed., pp. 2-3 -2-12, 3-30 -3-33.   |
|  | C4  | Bertario <i>et al.</i> (1999) "Risk of Colorectal Cancer Following Colonoscopic Polypectomy" <u>Tumori</u> 85: 157-162   |
|  | C5  | Blum H.E., (1995) "Colorectal Cancer: Future Population Screening for Early Colorectal Cancer" <u>European Journal of Cancer</u> , Vol. 31A, pp. 1369-1372.  |
|  | C6  | Bos <i>et al.</i> , (May 28, 1987) "Prevalence of <i>ras</i> Gene Mutations in Human Colorectal Cancers," <u>Nature</u> , Vol. 327, pp. 293-297.   |
|  | C7  | Caldas <i>et al.</i> , (July 1, 1994) "Detection of K-ras Mutations in the Stool of Patients with Pancreatic Adenocarcinoma and Pancreatic Ductal Hyperplasia" <u>Cancer Research</u> , Vol. 54, pp. 3568-3573.                      |
|  | C8  | Capozzi <i>et al.</i> (1999) "Evaluation of the Replication Error Phenotype in Relation to Molecular and Clinicopathological Features in Hereditary and Early Onset Colorectal Cancer" <u>European Journal of Cancer</u> 35: 289-295 |
|  | C9  | Cave <i>et al.</i> , (1994) "Reliability of PCR Directly from Stool Samples: Usefulness of an Internal Standard," <u>BioTechniques</u> , Vol. 16, No. 5, pp. 809-810.  |
|  | C10 | Chapelle (1999) "Testing Tumors for Microsatellite Instability" <u>European Journal of Human Genetics</u> 7: 407-408   |
|  | C11 | Charlesworth <i>et al.</i> , (September 15, 1994) "The Evolutionary Dynamics of Repetitive DNA in Eukaryotes," <u>Nature</u> , Vol. 371, pp. 215-220.  |
|  | C12 | Chen <i>et al.</i> (1997) "Microsatellite Instability in Sporadic-Colon-Cancer Patients With and Without Liver Metastases" <u>International Journal of Cancer</u> 74: 470-474  |
|  |     |  |
|  | C13 | Coll <i>et al.</i> , (October 1989) "Evaluation of a Rapid Method of Extracting DNA from Stool Samples for Use in Hybridization Assays," <u>Journal of Clinical Microbiology</u> , Vol. 27, No. 10, pp. 2245-2248.                   |
|  | C14 | Coughlin <i>et al.</i> (1999) "Public Health Perspectives on Testing for Colorectal Cancer Susceptibility Genes" <u>American Journal of Preventive Medicine</u> 16: 99-104   |

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## OTHER ART, JOURNAL ARTICLES, ETC. (continued)

| EXAM.<br>INIT. |     | OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)  |
|----------------|-----|---|
| SA             | C15 | Cunningham C. and M.G. Dunlop, (1996) "Molecular Genetic Basis of Colorectal Cancer Susceptibility," <u>British Journal of Surgery</u> , Vol. 83, pp. 321-329.  |
|                | C16 | Deng <i>et al.</i> , (December 20, 1996) "Loss of Heterozygosity in Normal Tissue Adjacent to Breast Carcinomas," <u>Science</u> , Vol. 274, pp. 2057-2059.   |
|                | C17 | Deuter <i>et al.</i> , (1995) "A Method for Preparation of Fecal DNA Suitable for PCR," <u>Nucleic Acids Research</u> , Vol. 23, No. 18, pp. 3800-3801.   |
|                | C18 | Dib <i>et al.</i> , (March 14, 1996) "A Comprehensive Genetic Map of the Human Genome Based on 5,264 Microsatellites," <u>Nature</u> Vol. 380, pp. 152-154.   |
|                | C19 | Duffy M.J., (1995) "Can Molecular Markers Now be Used for Early Diagnosis of Malignancy?" <u>Clin. Chem.</u> , Vol. 41, No.10, pp. 1410-1413.   |
|                | C20 | Eguchi <i>et al.</i> , (April 15, 1996) "Mutations of the p53 Gene in the Stool of Patients with Resectable Colorectal Cancer," <u>Cancer Supplement</u> , Vol. 77, No. 8, pp. 1707-1710.                               |
|                | C21 | Enari <i>et al.</i> , (January 1, 1998) "A Caspase-Activated DNase that Degrades DNA During Apoptosis, and its Inhibitor ICAD," <u>Nature</u> , Vol. 391, pp. 43-50.  |
|                | C22 | Fearon, E.R., (1995) "16 Molecular Abnormalities in Colon and Rectal Cancer," <u>The Molecular Basis of Cancer</u> , pp. 340-357.   |
|                | C23 | Grossman <i>et al.</i> (1988), "Colonoscopic Screening of persons With Suspected Risk Factors for Colon Cancer" <u>Gastroenterology</u> 94: 395-400   |
|                |     |   |
|                | C24 | Gyllenstein U. B., Allen M., (1995) "Sequencing of In Vitro Amplified DNA," <u>Recombinant DNA Methodology II</u> , (Wu, ed.), pp. 565-578.   |
|                | C25 | Hasegawa <i>et al.</i> , (1995) "Detection of K-ras Mutations in DNAs Isolated From Feces of Patients with Colorectal Tumors by Mutant-Allele-Specific Amplification (MASA)," <u>Oncogene</u> , Vol. 10, pp. 1441-1445. |
|                | C26 | Hoang <i>et al.</i> (1997) "BAT-26, an Indicator of the Replication Error Phenotype in Colorectal Cancers and Cell Lines" <u>Cancer Research</u> 57: 300-303  |
|                | C27 | Honchel <i>et al.</i> , (1995) "Genomic Instability in Neoplasia," <u>Seminars in Cell Biology</u> , Vol. 6, pp. 45-52.   |
|                | C28 | Hoss <i>et al.</i> , (September 17, 1992) "Excrement Analysis by PCR" <u>Scientific Correspondence</u> pp. 199.   |
|                | C29 | Iino <i>et al.</i> (1999) "DNA Microsatellite Instability in Hyperplastic Polyps, Serrated Adenomas, and Mixed Polyps: a Mild Mutator Pathway for Colorectal Cancer?" <u>Journal of Clinical Pathology</u> 52: 5-9      |

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| EXAM.<br>INIT. |     | OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)  |
|----------------|-----|---|
| SA             | C30 | Iniesta <i>et al.</i> (1998) "Genetic Abnormalities and Microsatellite Instability in Colorectal Cancer" <u>Cancer Detection and Prevention</u> 22: 383-395   |
|                | C31 | Ishimaru <i>et al.</i> (1995) "Microsatellite Instability in Primary and Metastatic Colorectal Cancers" <u>International Journal of Cancer</u> 64: 153-157  |
|                | C32 | Jarvinen <i>et al.</i> (1995) "Screening Reduces Colorectal Cancer Rate in Families With Hereditary Nonpolyposis Colorectal Cancer" <u>Gastroenterology</u> 108: 1405-1411  |
|                | C33 | Jernvall <i>et al.</i> (1999) "Microsatellite Instability: Impact on Cancer Progression in Proximal and Distal Colorectal Cancers" <u>European Journal of Cancer</u> 35: 197-201  |
|                | C34 | Jessup J.M. and G.E. Gallick, (September/October 1992) "The Biology of Colorectal Carcinoma," <u>Current Problems in Cancer</u> pp. 263-328.  |
|                | C35 | Jonsson <i>et al.</i> , (January 1995) "From Mutation Mapping to Phenotype Cloning," <u>Proc. Natl. Acad. Sci.</u> , Vol. 92 pp. 83-85.   |
|                | C36 | Kim <i>et al.</i> (1998) "Microsatellite Instability in Young Patients With Colorectal Cancer" <u>Pathology International</u> 48: 586-594   |
|                | C37 | Konishi <i>et al.</i> (1996) "Molecular Nature of Colon Tumors in Hereditary Nonpolyposis Colon Cancer, Familial Polyposis, and Sporadic Colon Cancer" <u>Gastroenterology</u> 111: 307-317   |
|                | C38 | Lamberti <i>et al.</i> (1999) "Microsatellite Instability - a Useful Diagnostic Tool to Select Patients at High Risk for Hereditary Non-Polyposis Colorectal Cancer: A Study in Different Groups of Patients With Colorectal Cancer" <u>Gut</u> 44: 839-843 |
|                | C39 | Lengauer <i>et al.</i> , (December 17, 1998) "Genetic Instabilities in Human Cancers," <u>Nature</u> , Vol. 396, pp. 643-649.   |
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FORM PTO - 1449

## INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: EXT-023

APPLICANT(S): Stanley N. Lapidus et al.

SERIAL NO.: 09/448,042

FILING DATE: Nov. 23, 1999

GROUP: 1643

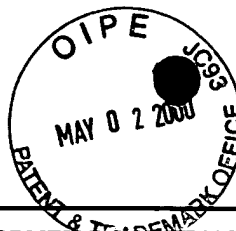
## OTHER ART, JOURNAL ARTICLES, ETC. (continued)

| EXAM.<br>INIT. |     | OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)  |
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| S              | C44 | Loktionov A. and I. K. O'Neill, (1995) "Early Detection of Cancer-Associated Gene Alterations in DNA Isolated from Rat Feces During Intestinal Tumor Induction with 1,2-Dimethylhydrazine," <u>International Journal of Oncology</u> , Vol. 6, pp. 437-445. |
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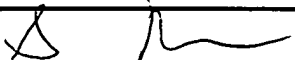
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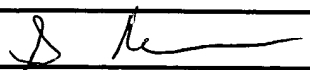



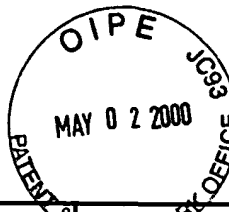
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| <b>OTHER ART, JOURNAL ARTICLES, ETC. (continued)</b> |     |  |
| <b>EXAM. INIT.</b>                                   |     | <b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>  |
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| <b>EXAM. INIT.</b>                                   |     | <b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>  |
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| <b>EXAMINER</b> <i>B. J.</i> | <b>DATE CONSIDERED</b> <i>3/01</i> |
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